

FORM PTO-1390 (Modified) U.S. PATENT AND TRADEMARK OFFICE; U.S. DEPARTMENT OF COMMERCE
(REV. 7-2005)TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371

ATTORNEY'S DOCKET NUMBER

14321.87

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/585532

INTERNATIONAL APPLICATION NO.
PCT/JP2005/010224INTERNATIONAL FILING DATE
3 June 2005PRIORITY DATE CLAIMED
3 June 2004

TITLE OF INVENTION

OPTICAL SIGNAL QUALITY MONITORING CIRCUIT AND OPTICAL SIGNAL QUALITY MONITORING METHOD

APPLICANT(S) FOR DO/EO/US

Ippei Shake

Hidehiko Takara

Atsushi Taniguchi

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
 - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☒ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).
11. ☐ A copy of the International Preliminary Examination Report (PCT/IPEA/409).
12. ☒ A copy of the International Search Report (PCT/ISA/210).

Items 13 to 23 below concern document(s) or information included:

13. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
14. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
15. ☒ A **FIRST** preliminary amendment.
16. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
17. ☐ A substitute specification.
18. ☒ A power of attorney and/or change of address letter.
19. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
20. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
21. ☐ A second copy of the English language translation of the International Application under 35 U.S.C. 154(d)(4).
22. ☒ Express Mail Label No. EV 825 902 405 US

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

U.S. APPLICATION NO (if known, see 37 CFR 1.5)		INTERNATIONAL APPLICATION NO.		ATTORNEY'S DOCKET NUMBER	
10/585532		PCT/JP2005/010224		14321.87	
23. Other items or information: postcard Application Data Sheet					
The following fees have been submitted:				CALCULATIONS PTO USE	
24. <input checked="" type="checkbox"/> Basic national fee				\$	\$300.00
25. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c))				\$	\$200.00
If the written opinion prepared by ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article				\$	\$0
All other situations.				\$	\$200
26. <input checked="" type="checkbox"/> Search fee (37 CFR 1.492(b))				\$	\$400.00
If the written opinion of the ISA/US or the International preliminary examination report by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4).				\$	\$0
Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the as an International Searching Authority.				\$	\$100
International Search Report prepared by an ISA other than the US and provided to the previously communicated to the US by the IB.				\$	\$400
All other situations.				\$	\$500
TOTAL OF 24, 25 and 26 =				\$	\$900.00
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole)	RATE		
130 - 100 =	30 /50 =	1	x \$250.00	\$	\$250.00
Surcharge of \$130.00 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 CFR 1.492(h)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	19 - 20 =	0	x \$50.00	\$	\$0.00
Independent claims	2 - 3 =	0	x \$200.00	\$	\$0.00
MULTIPLE DEPENDENT CLAIMS (if applicable) <input type="checkbox"/> + \$360.00				\$	\$0.00
TOTAL OF ABOVE CALCULATIONS =				\$	\$1,150.00
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by 1/2.				\$	\$0.00
SUBTOTAL =				\$	\$1,150.00
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).				\$	\$0.00
TOTAL NATIONAL FEE =				\$	\$1,150.00
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40 per property +				\$	\$40.00
TOTAL FEES ENCLOSED =				\$	\$1,190.00
				Amount to be	\$
				Amount to be	\$

10/585532

PTO-1390 (Rev. 07-2005)

Approved for use through 3/31/2007. OMB 0651-0021
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-3178. A duplicate copy of this sheet is enclosed.
- d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

Dana L. Tangren
WORKMAN NYDEGGER

022913

PATENT TRADEMARK OFFICE
CUSTOMER NO.

Dana L. Tangren
SIGNATURE

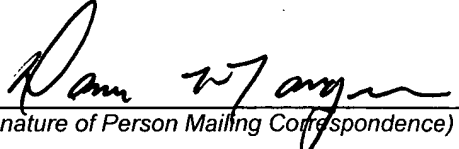
Dana L. Tangren

NAME

37,246

REGISTRATION NUMBER

7/10/06
DATE

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)					Docket No. 14321.87	
Applicant(s): Hidehiko Takara et al.						
Serial No.	Filing Date	Confirmation No.	Customer No. 022913	Examiner	Group Art Unit	
Invention: OPTICAL SIGNAL QUALITY MONITORING CIRCUIT AND OPTICAL SIGNAL QUALITY MONITORING METHOD						
<p>I hereby certify that the following are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 in an envelope addressed to: Mail Stop: PCT, Commissioner for Patents, PO Box 1450, Arlington, Virginia 22313-1450.</p> <p style="margin-top: 20px;">DATED this 10th day of July 2006.</p> <ul style="list-style-type: none"> • Transmittal Letter concerning filing under 35 USC § 371 (3 pages) (in duplicate) • A copy of PCT/JP2005/010224 • Combined Declaration and Power of Attorney (5 pages) • Assignment with cover sheet form PTO-1595 (4 pages) • Preliminary Amendment (17 pages) • Application Data Sheet (4 pages) • Verification of Translation • English translation of PCT/JP2005/010224 (79 pages) • Drawings (33 pages) • Copy of International Search Report (4 pages) • Form PTO-2038 submitting Credit Card Payment in the amount of \$1,190 • Transmittal for Information Disclosure Statement (3 pages) • Information Disclosure Statement (3 pages) • Form PTO-1449 listing 6 references (2 pages) • A copy of each reference listed on the PTO-1449 • Postcard <div style="text-align: right; margin-top: 40px;"> <p>DANA L. TANGREN</p> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <p><i>(Typed or Printed Name of Person Mailing Correspondence)</i></p> <div style="margin-top: 20px;">  </div> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <p><i>(Signature of Person Mailing Correspondence)</i></p> <div style="margin-top: 20px;"> <p>EV 825 902 405 US</p> <hr style="border: 0; border-top: 1px solid black; margin: 5px 0;"/> <p><i>("Express Mail" Mailing Label Number)</i></p> </div> </div>						

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re International Application of

Ippei SHAKE et al.

International Application No.: PCT/JP2005/010224

International filing date: June 3, 2005

For: OPTICAL SIGNAL QUALITY MONITORING CIRCUIT AND
OPTICAL SIGNAL QUALITY MONITORING METHOD

VERIFICATION OF TRANSLATION

Honorable Commissioner of Patent and Trademark
Washington, D.C. 20231

Sir:

Kenichi KAKINUMA residing at c/o TANI & ABE, No. 6-20, Akasaka
2-chome, Minato-ku, Tokyo 107-0052, Japan, declares:

(1) that he knows well both the Japanese and English
languages;

(2) that he translated the claims of the
above-identified International Application from Japanese to
English;

(3) that the attached English translation is a true
and correct translation of the claims, specification and
drawings of the above-identified International Application
to the best of his knowledge and belief; and

(4) that all statements made of his own knowledge
are true and that all statements made on information and belief
are believed to be true, and further that these statements
are made with the knowledge that willful false statements and
the like are punishable by fine or imprisonment, or both, under
18 USC 1001, and that such false statements may jeopardize
the validity of the application or any patent issuing thereon.

October 14, 2005

Date

柿沼健一

Kenichi KAKINUMA